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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/058,662	01/28/2002	Ryoichi Mukai	2500.66134	3822
7590	10/20/2003		EXAMINER	
Patrick G. Burns, Esq. GREER, BURNS & CRAIN, LTD. Suite 2500 300 South Wacker Dr. Chicago, IL 60606			PIZALI, ANDREW T	
			ART UNIT	PAPER NUMBER
			1775	
			DATE MAILED: 10/20/2003	

Please find below and/or attached an Office communication concerning this application or proceeding.

<b>Office Action Summary</b>	<b>Application No.</b>	<b>Applicant(s)</b>	
	10/058,662	MUKAI, RYOICHI	
	<b>Examiner</b>	<b>Art Unit</b>	
	Andrew T Piziali	1775	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

#### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

#### Status

1) Responsive to communication(s) filed on 01 August 2003.

2a) This action is FINAL.      2b) This action is non-final.

3) Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

#### Disposition of Claims

4) Claim(s) 1-6 is/are pending in the application.

4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.

5) Claim(s) \_\_\_\_\_ is/are allowed.

6) Claim(s) 1-6 is/are rejected.

7) Claim(s) \_\_\_\_\_ is/are objected to.

8) Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

#### Application Papers

9) The specification is objected to by the Examiner.

10) The drawing(s) filed on \_\_\_\_\_ is/are: a) accepted or b) objected to by the Examiner.

Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

11) The proposed drawing correction filed on \_\_\_\_\_ is: a) approved b) disapproved by the Examiner.

If approved, corrected drawings are required in reply to this Office action.

12) The oath or declaration is objected to by the Examiner.

#### Priority under 35 U.S.C. §§ 119 and 120

13) Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

a) All b) Some \* c) None of:

1. Certified copies of the priority documents have been received.

2. Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.

3. Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

14) Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).

a) The translation of the foreign language provisional application has been received.

15) Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

#### Attachment(s)

1) <input type="checkbox"/> Notice of References Cited (PTO-892)	4) <input type="checkbox"/> Interview Summary (PTO-413) Paper No(s). _____.
2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)	5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152)
3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO-1449) Paper No(s) <u>3</u> .	6) <input type="checkbox"/> Other: _____.

## **DETAILED ACTION**

### ***Election/Restrictions***

1. Applicant's election without traverse of Group I, claims 1-6, in Paper No. 5 is acknowledged.

### ***Claim Rejections - 35 USC § 112***

2. The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

3. Claims 1-6 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention. It is not clear what density of nucleation sites constitutes "sparsely" distributed nucleation sites. The examiner interprets the claim language to define a density of nucleation sites resulting from the use of 5 to 20 atomic percent of a compound, but further clarification is required.

### ***Claim Rejections - 35 USC § 102***

4. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

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5. Claims 1-2 are rejected under 35 U.S.C. 102(b) as being anticipated by USPN 5,846,648 to Chen et al. (hereinafter referred to as Chen).

Regarding claims 1-2, Chen discloses a polycrystalline structure film comprising metallic nucleation sites (structured nucleation layer) sparsely existing over a surface of a substrate, said metallic nucleation sites including a compound, and a metallic crystal layer (magnetic recording layer) covering over the surface of the substrate and containing crystal grains having grown from the nucleation sites (see entire document including column 9, lines 14-65 and Figures 1-2).

Regarding claim 2, Chen discloses that the compound may be a Cr-based alloy (column 10, lines 23-56).

***Claim Rejections - 35 USC § 103***

6. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

7. Claims 3-6 are rejected under 35 U.S.C. 103(a) as being unpatentable over Chen (as applied to claims 1-2 above).

Regarding claims 3-6, Chen does not specifically mention using an oxide or nitride compound comprising Pt atoms and Si<sub>3</sub>N<sub>4</sub>, SiO<sub>2</sub>, or Al<sub>2</sub>O<sub>3</sub> for the structured nucleation layer, but Chen does teach that the structured nucleation layer may be formed of any material provided that the grains are sufficiently small in diameter to permit the growth of small Cr intermediate layer

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grains (column 10, lines 23-39). Chen also teaches that the material selected for the structured nucleation layer must have a crystal structure capable of allowing the subsequently deposited intermediate Cr layer to assume or develop a crystallographic morphology such that the following magnetic recording layer grows epitaxially with a similar grain morphology (column 10, lines 40-56).

Considering that the magnetic recording layer of Chen may comprise a CoPt-based alloy plus a segregant such as Si<sub>3</sub>N<sub>4</sub>, SiO<sub>2</sub>, or Al<sub>2</sub>O<sub>3</sub> in a range between 5 and 20 atomic percent (column 15, lines 5-10 and column 11, lines 57-62), absent a showing of unexpected results, it would have been obvious to one having ordinary skill in the art at the time the invention was made to make the structured nucleation layer of Chen from a CoPt-based alloy plus a segregant such as Si<sub>3</sub>N<sub>4</sub>, SiO<sub>2</sub>, or Al<sub>2</sub>O<sub>3</sub> in a range between 5 and 20 atomic percent, because by making both the structured nucleation layer and the magnetic recording layer from the same material the magnetic recording layer would clearly be capable of developing a crystallographic morphology similar (identical) to that of the structured nucleation layer. It has been held to be within the general skill of a worker in the art to select a known material on the basis of its suitability for the intended use. *In re Leshin*, 125 USPQ 416.

### ***Conclusion***

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Andrew T Piziali whose telephone number is (703) 306-0145. The examiner can normally be reached on Monday-Friday (8:00-4:30).

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Deborah Jones can be reached on (703) 308-3822. The fax phone number for the organization where this application or proceeding is assigned is (703) 872-9306.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is (703) 308-0661.

atp



ANDREW T. PIZIALI  
PATENT EXAMINER

  
DEBORAH JONES  
SUPERVISORY PATENT EXAMINER